

FORM PTO-1390  
(REV 10-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

FUK-81

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/762497

INTERNATIONAL APPLICATION NO.  
PCT/JP99/04297

INTERNATIONAL FILING DATE  
August 9, 1999

PRIORITY DATE CLAIMED  
August 8, 1998

TITLE OF INVENTION POLARIZER

APPLICANT(S) FOR DO/EO/US


Shojiro KAWAKAMI et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).
4. ☒ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 16 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☒ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☐ Other items or information:

U.S. APPLICATION NO. (If known, see 37 CFR 1.53) <b>09/762,977</b>		INTERNATIONAL APPLICATION NO. <b>PCT/JP99/04297</b>		ATTORNEY'S DOCKET NUMBER <b>FOK-81</b>	
<p>17. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p><b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :</b></p> <p>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1000.00</b></p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO. .... <b>\$860.00</b></p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$710.00</b></p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$690.00</b></p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b></p> <p style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></p>				CALCULATIONS    PTO USE ONLY	
<p>Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).</p>				\$ 860.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	4 - 20 =	0	X \$18.00	\$ --00--	
Independent claims	3 - 3 =	0	X \$80.00	\$ --00--	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$ 00--	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$ 860.00</b>	
<p><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.</p>				\$ 430.00	
<b>SUBTOTAL =</b>				<b>\$ 430.00</b>	
<p>Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).</p>				\$ --00--	
<b>TOTAL NATIONAL FEE =</b>				<b>\$ 430.00</b>	
<p>Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property</p>				\$ --00--	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$ 430.00</b>	
				Amount to be refunded:	\$
				charged:	\$
<p>a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>430.00</u> to cover the above fees is enclosed.    Check No. 5018</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>501157</u>. A duplicate copy of this sheet is enclosed.</p>					
<p><b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p>					
<p>SEND ALL CORRESPONDENCE TO:</p> <p style="text-align: center;">CUSTOMER NO. 22855</p> <div style="text-align: center;">   <b>22855</b> </div> <p style="text-align: center;">Telephone: 9-485-6001 Facsimile: 219-486-2794</p>					
				SIGNATURE:	
				Randall J. Knuth	
				NAME	
				34,644	
				REGISTRATION NUMBER	

09/762497

JC03 Rec'd PCT/PTO 07 FEB 2001

Date: February 7, 2001

Commissioner of Patents and Trademarks  
Box: PCT  
Washington, DC 20231

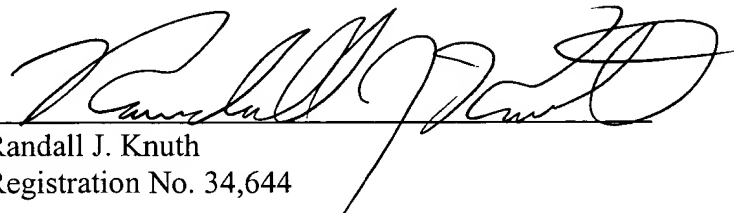
Re: National Stage PCT Application for United States Letters Patent  
APPLICANT: Shojiro KAWAKAMI et al.  
TITLE OF INVENTION: POLARIZER

Sir:

Forwarded herewith is the above-identified application, consisting of the following:

PTO-1390  
Substitute Specification (16 Sheets)  
Preliminary Amendment (3 Sheets) accompanied by  
Clean Claims (2 Sheets)  
Replacement Abstract of the Disclosure  
Verification of Translation and Translated Application (21 Sheets)  
Drawings (6 Sheets)  
Unexecuted Declaration  
Applicant claims small entity status. See 37 CFR 1.27.  
Information Disclosure Statement  
Form PTO-1449  
Cited Art References

Respectfully submitted,

  
Randall J. Knuth  
Registration No. 34,644

RJK/jrw

Enclosures: As stated above.  
Check No. 5018 (\$430)  
Return Postcard

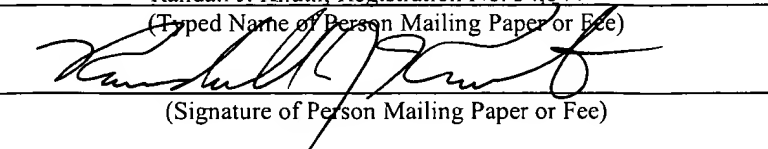
RANDALL J. KNUTH, P.C.  
3510-A STELLHORN ROAD  
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FACSIMILE: 219-486-2794

"EXPRESS MAIL" Mailing Number EL161762905US  
Date of Deposit February 7, 2001.

I hereby certify that this paper or fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, DC 20231

Randall J. Knuth, Registration No. 34,644

(Typed Name of Person Mailing Paper or Fee)

  
(Signature of Person Mailing Paper or Fee)

09/762497

JC03 Rec'd PCT/PTO 07 FEB 2001

## VERIFICATION OF A TRANSLATION

I, the below name translator, hereby declare that:

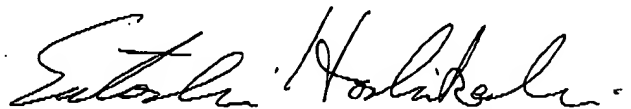
My name and post office address are as stated below;

That I am knowledgeable in the English language and in the language in which the below identified international application was filed, and that I believed the English translation of the international application PCT/JP99/04297 is a true and complete translation of the above-identified international application as filed.

I hereby declare that all statement made herein of my knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize validity of the application or any patent issued thereon.

Full name of the translator: Satoshi HOSHIKOSHI

Signature of the translator:



Date: February 7, 2001

Post Office Address:

2nd floor, Fuji Building  
5-11, Kudanminami 4-chome  
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